



**P A T E N T**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: David Regan

Serial No: 09/559,204

Filed: 4/26/2000

Title: Network-Based Tax Framework  
Database

Docket No: 060021-357801/US

Group Art Unit: 2176

Examiner: James H. Blackwell

Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Certificate of Mailing/Transmittal**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO (Fax. No. 571/273-8300) or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Janet Byrne 1-18-2006  
Janet Byrne Date

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

This Information Disclosure Statement is being submitted:

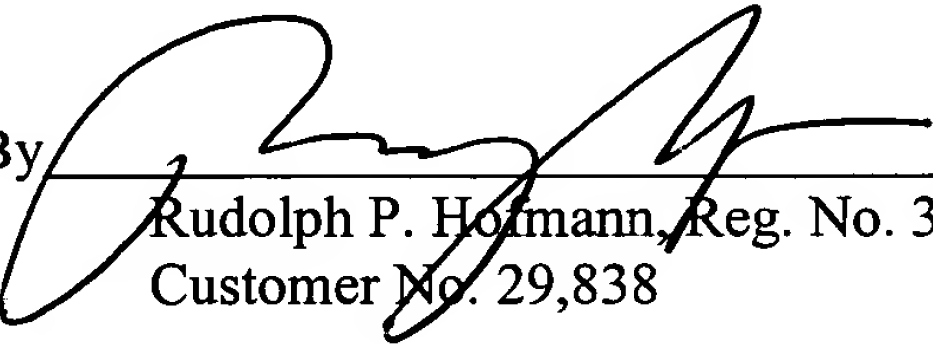
- ☒ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application, or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;

- ☐ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:
- (a) A statement that either:
- ☐ (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;
- OR
- ☐ (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;
- OR
- ☐ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).
- ☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:
- (a) A statement that either:
- ☐ (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;
- OR
- ☐ (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;
- AND
- ☐ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449 transmitted herewith, indicating that the information has been considered and made of record herein. Copies of non-patent literature are enclosed; with the exception of the reference titled "User's guide for TurboTax and TurboTax Deluxe, 12/1998," which was cited by the

Examiner on May 21, 2002, in related Application Serial No. 09/558,920. In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-357801/US.

Respectfully submitted,

By   
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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/559,204
				Filing or 371(c) Date	4/26/2000
				First Named Inventor	David Regan
				Art Unit	2176
				Examiner Name	James H. Blackwell
Sheet	1	of	3	Attorney Docket Number 060021-357801/US	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number			Name of Patentee or Applicant of Cited Document
		Number	-Kind	Code <sup>2</sup> (if known)	
		2002/0013747			Valentine et al.
		4,837,798			Cohen et al.
		4,949,278			Davies et al.
		5,509,071			Petrie et al.
		5,535,322			Hecht, Matthew S.
		5,548,753			Linstead et al.
		5,590,197			Chen et al.
		5,739,512			Tognazzini, Bruce
		5,852,722			Hamilton, Graham
		5,903,651			Kocher, Paul Carl
		5,911,776			Guck, Randal Lee
		5,915,022			Robinson et al.
		5,970,501			Hunkins et al.

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
		WO99/06931	Feb-99	Donlavage	
		WO99/40528	Aug-99	Taricani	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		Arar, Yardenam, TaxCut Turbo Tax Offer More; Microsoft's Tax Saver Falls Short. (Software Review) (Evaluation) PC World v18, n2, p66, Feb. 2000, ISSN: 0737-8939.	
		Prime Financial New Year's Resolutions: Hire a Good Financial Planner, Stick to a Good Investment Strategy. PR Newswire, p9442, Dec. 15, 1998.	
Examiner Signature			Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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		Number	-Kind	Code <sup>2</sup> (if known)	
		5,978,799		Nov-99	Hirsch, G. Scott
		6,035,398		Mar-00	Bjorn, Vance
		6,044,462		Mar-00	Zubeldia et al.
		6,047,264		Apr-00	Fisher et al.
		6,061,570		May-00	Janow, Richard H.
		6,112,305		Aug-00	Dancs et al.
		6,137,865		Oct-00	Ripy et al.
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		6,285,991		Sep-01	Powar, William L.
		6,321,339		Nov-01	French et al.
		6,327,576		Dec-01	Ogasawara, Nobuo
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		6,353,608		Mar-02	Cullers et al.

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		T <sup>2</sup>	
		Rankin, Robert A., IRS GETS IN HOLIDAY SPIRIT, DELAYS TAX FORMS - San Jose Mercury News (SJ), Mercury News Washington Bureau, Edition: Morning Final, Section: Business Page: 1F, Wednesday December 26, 1990.	
		User's guide for TurboTax and TurboTax Deluxe, 12/1998	
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		Number (if known)	-Kind	Code <sup>2</sup> (if known)		
		6,442,689			Aug-02	Kocher, Paul Carl
		6,510,513			Jan-03	Danieli
		6,526,581			Feb-03	Edson, Richard
		6,553,108			Apr-03	Felger, David
		6,567,789			May-03	Baker
		6,584,096			Jun-03	Allan, Ian David
		6,609,114			Aug-03	Gressel et al.
		6,618,764			Sep-03	Shteyn, Yevgeniy Eugene
		6,658,474			Dec-03	Kang, Sung-bong
		6,735,619			May-04	Sawada, Toshihisa
		6,778,646			Aug-04	Sun, Ting
		6,785,720			Aug-04	Seong, Goan-soo
		6,829,333			Apr-98	Frazier, Timothy M.

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